

## Form ADV Part 2B – Investment Adviser Brochure Supplement

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# Asset Strategies, Inc. Form ADV Part 2B Investment Adviser Brochure Supplement

80 W. Avon Road  
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(860) 673-5500

[www.assetstrats.com](http://www.assetstrats.com)

### **Supervisors' Names and Supervised Persons:**

Diann E. McChesney, CFP® & Alan M. Rothstein, CPA, PFS

March 2021

This Brochure Supplement provides information about the Firm's ("we", "us", "our") employees that supplements our Brochure. You should have received a copy of that Brochure. Please contact Diann E. McChesney, Executive Vice President and Chief Compliance Officer, at (860) 673-5500 or [diann@assetstrats.com](mailto:diann@assetstrats.com), if you did not receive our Brochure or if you have any questions about the contents of this Supplement.

Additional information about our employee(s) referenced above is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You may search this site using a unique identifying number, known as a CRD number for each employee.

## Item 2: Educational Background and Business Experience

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### **Supervised Persons**

***Alan M. Rothstein***

Born 1952

CRD #: 4370823

### **Business Background:**

Asset Strategies, Inc.

2015 to Present

President and Treasurer

Rothstein and Company, LLC

1981 to Present

Certified Public Accountant

Asset Strategies, Inc.

2002 to 2015

Vice President and Treasurer

### **Formal Education after High School:**

Western New England College

Master of Science, Accounting

New York University

Bachelor of Science, Accounting

### **Professional Designations:**

Certified Public Accountant (CPA)

Personal Financial Specialist (PFS)

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***Diann E. McChesney***

Born 1959

CRD #: 4818110

### **Business Background:**

Asset Strategies, Inc.

Executive Vice President and Chief Compliance Officer

2015 to Present

Financial Advisor

2012 to 2015

Westport Resources, Inc.

2010 to 2012

Financial Planning Specialist

Eleven O'Clock Associates, LLC

2005 to 2010

Financial Advisor

Capital Wealth Management

2004 to 2005

Client Services Representative

**Formal Education after High School:**

College for Financial Planning  
Master of Science, Personal Financial Planning

California College of Health Sciences  
Master of Science, Community Health Administration and Wellness Promotion

Texas Tech University  
Bachelor of Science, Audiology

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (CFP®)

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**Professional Certifications**

The Firm's Supervised Persons maintain professional designations, which required the following minimum requirements:

***Certified Public Accountant (CPA)***

**Issued by:** State Boards of Accountancy

**Prerequisites/Experience Required:** Candidate must meet the following requirements:

- Minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA);
- Successful passing of the Uniform CPA Examination

**Educational Requirements:**

- At minimum, a college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting).

**Examination Type:** Uniform CPA Examination

**Continuing Education/Experience Requirements:** Completion of 40 hours of continuing professional education each year (or 80 hours over a two-year period) in order to maintain a CPA license

***Personal Financial Specialist (PFS)***

**Issued by:** American Institute of Certified Public Accountants (AICPA).

**Prerequisites/Experience Required:** Candidate must meet the following requirements:

- Must hold an unrevoked CPA license;
- Fulfill 3,000 hours of personal financial planning business experience;
- Complete 80 hours of personal financial planning continuing professional education credits;
- Pass a comprehensive financial planning exam (PFS Exam); and
- Be an active member of the AICPA

**Educational Requirements:** Must meet minimum education requirements for CPA.

**Examination Type:** PFS Exam

**Continuing Education/Experience Requirements:** Completion of 60 hours of financial planning continuing professional education credits every three years.

***CERTIFIED FINANCIAL PLANNER™ (CFP®)***

**Issued by:** Certified Financial Planner Board of Standards, Inc.

**Prerequisites/Experience Required:** Candidate must meet the following requirements:

- A bachelor's degree (or higher) from an accredited college or university, and
- 3 years of full-time personal financial planning experience

**Educational Requirements:** Candidate must complete a CFP-board registered program, or hold one of the following:

- CPA
- ChFC
- Chartered Life Underwriter (CLU)
- CFA
- Ph.D. in business or economics
- Doctor of Business Administration
- Attorney's License

**Examination Type:** CFP Certification Examination

**Continuing Education/Experience Requirements:** 30 hours every 2 years

### **Item 3: Disciplinary Information**

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Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person

providing investment advice. Alan M. Rothstein and Diann E. McChesney have not been involved in any activities resulting in a disciplinary disclosure.

## **Item 4: Other Business Activities**

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Disclosure on Outside Business Activities is provided in Form ADV Part 2A Item 10 – Other Financial Industry Activities and Affiliations.

Alan M. Rothstein, President, is a principal of ASI. He is a shareholder of National Advisor Holdings, Inc. (“NAH”), a Delaware corporation organized in August of 1999. He holds less than 1.0% interest, in the aggregate, of the outstanding stock of NAH. NAH has formed a federal trust company known as National Advisors Trust Company (“NATC”). NATC provides trust services to clients of investment advisory firms, such as ASI, across the United States.

Because Alan M. Rothstein has an interest in NAH, and therefore indirectly has an interest in NATC, fees earned by NATC can accrue to benefit him and thus create a conflict of interest. Clients of ASI, however, are under no obligation to utilize the trust services provided by NATC.

Alan M. Rothstein is a CPA and provides tax preparation services to clients of ASI. Tax preparation services are offered through ASI and charged separately from investment advisory services.

Alan M. Rothstein is the president of Rothstein & Company, LLC, which performs surprise exams for registered investment advisers.

Diann E. McChesney has no outside business activities to report.

## **Item 5: Additional Compensation**

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Alan M. Rothstein and Diann E. McChesney do not receive any economic benefit outside of regular salaries or bonuses except as described in Form ADV Part 2A Items 10 and 12.

## **Item 6: Supervision**

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ASI’s policies and procedures are monitored by the firm’s Oversight Committee which is currently composed of Diann E. McChesney, Executive Vice President and Chief Compliance Officer, and Alan M. Rothstein, President. Alan M. Rothstein and Diann E. McChesney supervise the Firm’s team of supervised persons by holding regular meetings, which may include staff, investment, compliance, and other ad hoc meetings. They review client reports, emails, and trading, as well as personal securities transactions and holdings reports. Alan M. Rothstein and Diann E. McChesney may be reached at (860) 673-5500.